

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number 09/945,535

Filing Date August 30, 2001

First Named Inventor Ahn, Kie

Group Art Unit 2813

Examiner Name Blum, David Rodgers, Colleen E.

Sheet 1 of 1

Attorney Docket No: 1303.026US1

**US PATENT DOCUMENTS**

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Filing Date If Appropriate
CR	US-2,501,563	03/21/1950	Colbert, W. H., et al.	02/20/1946
CR	US-5,587,609	12/24/1996	Murakami, M., et al.	03/23/1995
CR	US-5,765,214	06/09/1998	Sywyk, S. P.	04/22/1996
CR	US-8,020,243	02/01/2000	Wallace, R. M., et al.	07/15/1998
CR	US-6,617,639	09/09/2003	Wang, Z., et al.	06/21/2002
CR	US-7,012,311	03/14/2006	Ohmi, T., et al.	05/29/2001

**FOREIGN PATENT DOCUMENTS**

Examiner Initials *	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	T <sup>2</sup>
---------------------	---------------------	------------------	---	----------------

**OTHER DOCUMENTS – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>3</sup>
---------------------	----------------------	---	----------------

EXAMINER

Colleen E. Aof

DATE CONSIDERED 21 November 2006

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

9/12/06

PTO/SB/08A(10-01)

Approved for use through 10/31/2002. OMB 051-0031  
US Patent & Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

**Application Number** 09/945,535**Filing Date** August 30, 2001**First Named Inventor** Ahn, Kie**Group Art Unit** 2813**Examiner Name** Blum, David Rodgers, Colleen E.

Sheet 1 of 1

**Attorney Docket No:** 1303.026US1**US PATENT DOCUMENTS**

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Filing Date if Appropriate
CR	US-20050260357A1	11/24/2005	Olsen, Christopher, et al.	05/21/2004
CR	US-20060183272A1	08/17/2006	Ahn, K. Y., et al.	02/15/2005
CR	US-20060189154A1	08/24/2006	Ahn, K. Y., et al.	02/23/2005
CR	US-7,101,813	09/05/2006	Ahn, K. Y., et al.	12/04/2002

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	T <sup>2</sup>
--------------------	---------------------	------------------	---	----------------

**OTHER DOCUMENTS – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>3</sup>
--------------------	----------------------	---	----------------

EXAMINER

*Colleen E. Blum*

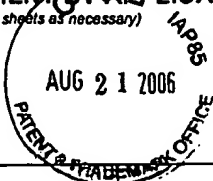
DATE CONSIDERED

21 November 2006

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO  
**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(Use as many sheets as necessary)



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/USPOBA/10-011  
Approved for use through 10/31/2002. OMB 051-0001  
US Patent & Trademark Office, U.S. DEPARTMENT OF COMMERCE

Complete If Known

Application Number 09/945,535  
Filing Date August 30, 2001  
First Named Inventor Ahn, Kie  
Group Art Unit 2813  
Examiner Name Blum, David Rodgers, Colleen E.

Sheet 1 of 2

Attorney Docket No: 1303.026US1

**US PATENT DOCUMENTS**

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Filing Date If Appropriate
CR	US-20030032270A1	02/13/2003	Snyder, J., et al.	08/10/2001
CR	US-20030062261A1	04/03/2003	Shindo, Y.	07/31/2002
CR	US-20040198069A1	10/07/2004	Metzner, C., et al.	04/04/2003
CR	US-20060024975A1	02/02/2006	Ahn, Kie Y., et al.	08/02/2004
CR	US-20060028867A1	02/09/2006	Forbes, L., et al.	08/03/2004
CR	US-20060028869A1	02/09/2006	Forbes, L., et al.	08/03/2004
CR	US-20060043492A1	03/02/2006	Ahn, K. Y., et al.	08/29/2005
CR	US-20060043504A1	03/02/2006	Ahn, K. Y., et al.	08/31/2004
CR	US-20060046505A1	03/02/2006	Ahn, K. Y., et al.	08/26/2004
CR	US-20060046522A1	03/02/2006	Ahn, K. Y., et al.	08/31/2004
CR	US-20060054943A1	03/16/2006	Li, Hong-Jyh, et al.	09/14/2004
CR	US-20060125030A1	06/15/2006	Ahn, K. Y., et al.	12/13/2004
CR	US-20060128168A1	06/15/2006	Ahn, K. Y., et al.	12/13/2004
CR	US-20060148180A1	07/06/2006	Ahn, K. Y., et al.	01/05/2005
CR	US-6,365,470	04/02/2002	Maeda, T.	12/29/2000
CR	US-6,642,573	11/04/2003	Halliyal, A., et al.	03/13/2002
CR	US-6,989,565	01/24/2006	Aronowitz, S., et al.	10/31/2003
CR	US-7,026,694	04/11/2006	Ahn, K. Y., et al.	08/31/2004
CR	US-7,045,430	05/16/2006	Ahn, K. Y., et al.	05/02/2002
CR	US-7,049,192	05/23/2006	Ahn, K. Y., et al.	06/24/2003
CR	US-7,064,058	06/20/2006	Ahn, K. Y., et al.	01/30/2004
CR	US-7,081,421	07/25/2006	Ahn, K. Y., et al.	08/26/2004
CR	US-7,084,078	08/01/2006	Ahn, K. Y., et al.	08/29/2002

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	T <sup>2</sup>
CR	WO-2006026716A1	03/09/2006	Ahn, Kie, et al.	

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
NO COPY		AHN, KIE Y., "ATOMIC LAYER DEPOSITED LANTHANUM HAFNIUM OXIDE DIELECTRICS", U.S. Application Serial No. 11/010,529; filed December 13, 2004	
		AHN, KIE Y., "COBALT TITANIUM OXIDE DIELECTRIC FILMS", U.S. Application Serial No. 11/216,958; filed August 31, 2005	
		AHN, KIE Y., "GALLIUM LANTHANIDE OXIDE FILMS (working title)", U.S. Application Serial No. 11/329,025	

EXAMINER

*Colleen E. Rodgers*

DATE CONSIDERED 21 November 2006

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number 09/945,535

Filing Date August 30, 2001

First Named Inventor Ahn, Kie

Group Art Unit 2813

Examiner Name ~~Blum, David~~ Rodgers, colleen E

Sheet 2 of 2

Attorney Docket No: 1303.026US1

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
NO COPY		AHN, KIE Y., "LANTHANUM-ALUMINUM OXYNITRIDE DIELECTRIC FILMS", U.S. Application Serial No. 11/216,474, filed August 31, 2005	
↓		AHN, KIE Y., "ZIRCONIUM-DOPED GADOLINIUM OXIDE FILMS", U.S. Application Serial No. 11/216,578, filed August 29, 2005	
↓		KRAUS, BRENDA, "CONDUCTIVE NANOPARTICLES", U.S. Application Serial No. 11/197184, filed 8/4/2005	
Ⓢ		VAN DOVER, R B., "Amorphous lanthanide-doped TiOx dielectric films", Applied Physics Letters, 74(20), (May 1999), 3041-3043	

EXAMINER

Colleen Rodgers

DATE CONSIDERED

21 November 2006

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.